SEARCH REQUEST FORM

Scientific and Technical Information Center

(18)

705/37

Requester's Full Name: **Forest Thompson**_____   Examiner # :_76652_____   Date: __3/02/01___   O9/359 686

Art Unit: _2165____   Phone Number **306-5449**____   Serial Number: ~09/359,868~

Mail Box Location: _5W05_____   Results Format Preferred (circle): **PAPER** DISK E-MAIL

If more than one search is submitted, please prioritize searches in order of need.
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Please provide a detailed statement of the search topic, and describe as specifically as possible the subject matter to be searched. Include the elected species or structures, keywords, synonyms, acronyms, and registry numbers, and combine with the concept or utility of the invention. Define any terms that may have a special meaning. Give examples or relevant citations, authors, etc, if known. Please attach a copy of the cover sheet, pertinent claims, and abstract.

Title of Invention: __Automated System for Conditional Order Transactions in Securities or Other Items in__

__Commerce__

Inventors (please provide full names): _**Robert Scott Nieboer; Pedro V. Balcarce; Ivan N. Zhidov; Micah James**

Eldred_____

Earliest Priority Filing Date: __07/23/99___

For Sequence Searches Only Please include all pertinent information (parent, child, divisional, or issued patent numbers) along with the appropriate serial number.

An apparatus and method of automatically and anonymously buying and selling positions in fungible properties between subscribers. The specific embodiment described in the disclosure relates to the buying and selling of securities or contracts where the ofer to purchase or sell the property may be conditioned wpon factors such as the ability to purchase or sell other property or the actual purchase or sale of other property. Specifically, the system described includes methods by which the system will sort and display the information available on each order, methods by which the system will match buy and sell orders and attempt to use other markets to effect the execution of transactions without violating conditions set by the subscriber, methods by which the apparatus will execute transaction and report prices to third parties such that the user is satisfied and short sales are reported as prescribed by the rules ans regulations of the appropriate regulatory body governing each subscriber in the associated transaction. A communication system is described which allows subscribers to communicate anonymously for the purpose of effecting transactions in such property under such conditions.

KEYWORDS:

Buy	sell	purchase	securities	contracts
Display and sort		transaction	conditions	conditionally purchase or sell
Match buy and sell orders		anonymous transactions		user or buyer or seller or subscriber

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INSTINET COMMUNICATION SYSTEM FOR EFFEC...PERTIES BETWEEN SUBSCRIBERS (US3573747)...://www.delphion.com/details?&pn=US03573747__

Int*rnet 3/9/01

Delphion

Inquire Regarding Licensing

US3573747:INSTINET COMMUNICATION SYSTEM FOR EFFECTUATING THE SALE OR EXCHANGE OF FUNGIBLE PROPERTIES BETWEEN SUBSCRIBERS

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Inventor(s):
Adams; Charles W. , Lexington, MA
Behrens; Herbert R. , New York, NY
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Gilmore, Jr.; John T. , Acton, MA

Applicant(s):
Institutional Networks Corporation, New York, NY
News, Profiles, Stocks and More about this company

Issued/Filed Dates: April 6, 1971 / Feb. 24, 1969

Application Number: US1969000801455

IPC Class: G06F 15/24;

Class:
Current: 705/037; 340/825.27;
Original: 340/172.5; 340/154;

Field of Search: 340/154 235/157 340/172.5

Legal Status: Show legal status actions

Abstract:

This disclosure is directed to an apparatus and method of automatically, anonymously and equitably buying and selling fungible properties between subscribers. The specific embodiment described in the disclosure relates to the buying and selling of securities wherein a communication system pursuant to this invention is described which permits institutional investors to communicate anonymously with each other for the purpose of arranging block trades of listed and over-the-counter securities. Said system comprises a centralized data storage unit, a digital computer, a plurality of subscriber terminals and a plurality of communication links established therebetween. The method of the system comprises the steps of (1) booking unfilled buy offers including associated price and quantity parameters on a buy offer list in a priority sequence according to a first predetermined program, (2)

Order plaques now

DIALOG
3/9/01

Set	Items	Description
S1	112060	ANONYMOUS? OR MASK? OR DISGUIS? OR UNKNOWN OR HIDDEN OR UN-REVEAL?
S2	962	BUYERS
S3	969	SELLERS
S4	40272	BUYING OR PURCHAS?
S5	2995	SELLING
S6	112	S1(3N)(S2 OR S3 OR S4 OR S5)
S7	7	S6(3N)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S8	8	FUNGIBLE(3N)PROPERTIES
S9	17797	SUBSCRIBER?
S10	212830	SECURITIES OR CONTRACTS OR STOCK? OR FUND? OR BONDS OR COM-MODIT?
S11	207447	CONDITIONAL? OR DEPENDEN? OR CONTINGEN?
S12	14	(S4 OR S5)(3N)OTHER(3N)PROPERT?
S13	7899	OTHER(3N)(MARKET? OR TRANSACTION? OR EVENTS)
S14	0	S13(S)S6(3N)(EFFECT OR IMPACT OR DICTAT?)
S15	174017	DISPLAY?
S16	266882	SORT?
S17	3	S6(S)S11
S18	12	S6(S)S10
S19	9	S11(5N)(S2 OR S3 OR S4 OR S5)(5N)S10
S20	22	S11(S)(S4 OR S5)(3N)S10
S21	17	S20 NOT (S19 OR S18 OR S17)
S22	1	S21(S)(S12 OR S13)
S23	0	S21(S)(EFFECT OR IMPACT OR DICTAT?)
S24	16	S21 NOT S22

All considered

DIALOG
3/9/01

Set	Items	Description
S1	189046	ANONYMOUS? OR MASK? OR DISGUIS? OR UNKNOWN OR HIDDEN OR UN-REVEAL?
S2	202	BUYERS
S3	137	SELLERS
S4	11467	BUYING OR PURCHAS?
S5	5032	SELLING
S6	122	S1 AND (S2 OR S3 OR S4 OR S5)
S7	15	S6 AND (MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELAT-ED)
S8	0	FUNGIBLE(3N)PROPERTIES
S9	45173	SUBSCRIBER?
S10	159550	SECURITIES OR CONTRACTS OR STOCK? OR FUND? OR BONDS OR COM-MODIT?
S11	104816	CONDITIONAL? OR DEPENDEN? OR CONTINGEN?
S12	4	(S4 OR S5) AND OTHER(3N)PROPERT?
S13	7185	OTHER AND (MARKET? OR TRANSACTION? OR EVENTS)
S14	0	S13 AND S6 AND (EFFECT OR IMPACT OR DICTAT?)
S15	751885	DISPLAY?
S16	54672	SORT?
S17	4	S6 AND S11
S18	11	S6 AND S10
S19	9	S11 AND (S2 OR S3 OR S4 OR S5) AND S10
S20	9	S11 AND (S4 OR S5) AND S10
S21	0	(S17 OR S18 OR S19 OR S20) AND S15 AND S16
S22	1	(S18 OR S19 OR S20) AND (S12 OR S13)
S23	14	S7 NOT AD=19990723:20010101/PR
S24	0	S19 NOT S20
S25	0	S20 NOT S19

all considered

DIALOG
3/9/01

Set	Items	Description
S1	202763	ANONYMOUS? OR MASK? OR DISGUIS? OR UNKNOWN OR HIDDEN OR UN-REVEAL?
S2	235812	BUYERS
S3	74883	SELLERS
S4	1855983	BUYING OR PURCHAS?
S5	692031	SELLING
S6	1301	S1(3N)(S2 OR S3 OR S4 OR S5)
S7	34	S6(3N)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S8	17	FUNGIBLE(3N)PROPERTIES
S9	308449	SUBSCRIBER?
S10	4207969	SECURITIES OR CONTRACTS OR STOCK? OR FUND? OR BONDS OR COM-MODIT?
S11	309718	CONDITIONAL? OR DEPENDEN? OR CONTINGEN?
S12	898	(S4 OR S5)(3N)OTHER(3N)PROPERT?
S13	255824	OTHER(3N)(MARKET? OR TRANSACTION? OR EVENTS)
S14	0	S13(S)S6(3N)(EFFECT OR IMPACT OR DICTAT?)
S15	486036	DISPLAY?
S16	148611	SORT?
S17	(1)	S6(S)S11
S18	149	S6(S)S10
S19	(7)	RD S8 (unique items)
S20	25	RD S7 (unique items)
S21	(9)	S20 NOT (PY=>1999 OR PD=>990723)
S22	0	S18(S)S13
S23	703	S11(5N)(S2 OR S3 OR S4 OR S5)(5N)S10
S24	0	S23(S)S15(S)S16
S25	25	S23(S)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S26	17	S25 NOT (PY=>1999 OR PD=>990723)
S27	(11)	RD S26 (unique items)
S28	1378	S11(S)(S4 OR S5)(3N)S10
S29	49	S28(S)S13
S30	6	S29(S)(EFFECT? OR IMPACT? OR DICTAT?)
S31	5	S30 NOT (PY=>1999 OR PD=>990723)
S32	(3)	RD S31 (unique items)

all considered

DIALOG
3/9/01

Set	Items	Description
S1	351761	ANONYMOUS? OR MASK? OR DISGUIS? OR UNKNOWN OR HIDDEN OR UN-REVEAL?
S2	297395	BUYERS
S3	96862	SELLERS
S4	1831547	BUYING OR PURCHAS?
S5	835530	SELLING
S6	1691	S1(3N)(S2 OR S3 OR S4 OR S5)
S7	24	S6(3N)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S8	11	FUNGIBLE(3N)PROPERTIES
S9	239797	SUBSCRIBER?
S10	5088117	SECURITIES OR CONTRACTS OR STOCK? OR FUND? OR BONDS OR COM-MODIT?
S11	394838	CONDITIONAL? OR DEPENDEN? OR CONTINGEN?
S12	1286	(S4 OR S5)(3N)OTHER(3N)PROPERT?
S13	270468	OTHER(3N)(MARKET? OR TRANSACTION? OR EVENTS)
S14	0	S13(S)S6(3N)(EFFECT OR IMPACT OR DICTAT?)
S15	432971	DISPLAY?
S16	354006	SORT?
S17	(21)	RD S7 (unique items)
S18	9	S6(S)S11
S19	(9)	RD S18 (unique items)
S20	251	S6(S)S10
S21	1	S20(S)S13
S22	828	S11(5N)(S2 OR S3 OR S4 OR S5)(5N)S10
S23	0	S22(S)S15(S)S16
S24	45	S22(S)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S25	28	S24 NOT (PY=>1999 OR PD=>990723)
S26	(26)	RD S25 (unique items)
S27	1613	S11(S)(S4 OR S5)(3N)S10
S28	67	S27(S)S13
S29	22	S28(S)(EFFECT? OR IMPACT? OR DICTAT?)
S30	7	S29 NOT (PY=>1999 OR PD=>990723)
S31	(6)	RD S30 (unique items)

(all Considered)

DIALOG
3/9/01

Set	Items	Description
S1	279106	ANONYMOUS? OR MASK? OR DISGUIS? OR UNKNOWN OR HIDDEN OR UN-REVEAL?
S2	319122	BUYERS
S3	107287	SELLERS
S4	1766956	BUYING OR PURCHAS?
S5	740687	SELLING
S6	1592	S1(3N)(S2 OR S3 OR S4 OR S5)
S7	24	S6(3N)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S8	11	FUNGIBLE(3N)PROPERTIES
S9	194713	SUBSCRIBER?
S10	4266056	SECURITIES OR CONTRACTS OR STOCK? OR FUND? OR BONDS OR COM-MODIT?
S11	319977	CONDITIONAL? OR DEPENDEN? OR CONTINGEN?
S12	1050	(S4 OR S5)(3N)OTHER(3N)PROPERT?
S13	235357	OTHER(3N)(MARKET? OR TRANSACTION? OR EVENTS)
S14	0	S13(S)S6(3N)(EFFECT OR IMPACT OR DICTAT?)
S15	529258	DISPLAY?
S16	264119	SORT?
S17	23	RD S7 (unique items)
S18	6	S6(S)S11
S19	6	RD S18 (unique items)
S20	165	S6(S)S10
S21	1	S20(S)S13
S22	922	S11(5N)(S2 OR S3 OR S4 OR S5)(5N)S10
S23	0	S22(S)S15(S)S16
S24	101	S22(S)(MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELATE-D)
S25	82	S24 NOT (PY=>1999 OR PD=>990723)
S26	76	RD S25 (unique items)
S27	1257	S11(S)(S4 OR S5)(3N)S10
S28	32	S27(S)S13
S29	4	S28(S)(EFFECT? OR IMPACT? OR DICTAT?)
S30	3	S29 NOT (PY=>1999 OR PD=>990723)
S31	3	RD S30 (unique items)
S32	3	S26(S)OTHER(3N)(PROPERT? OR ASSET? ?)
S33	3	RD S32 (unique items)

all considered

DIALOG
3/9/01

Set	Items	Description
S1	158025	ANONYMOUS? OR MASK? OR DISGUIS? OR UNKNOWN OR HIDDEN OR UN-REVEAL?
S2	16673	BUYERS
S3	3027	SELLERS
S4	143698	BUYING OR PURCHAS?
S5	39786	SELLING
S6	915	S1 AND (S2 OR S3 OR S4 OR S5)
S7	71	S6 AND (MATCH? OR RELATE OR RELATING OR CORRELAT? OR RELAT-ED)
S8	0	FUNGIBLE(3N)PROPERTIES
S9	36797	SUBSCRIBER?
S10	720823	SECURITIES OR CONTRACTS OR STOCK? OR FUND? OR BONDS OR COM-MODIT?
S11	774447	CONDITIONAL? OR DEPENDEN? OR CONTINGEN?
S12	134	(S4 OR S5) AND OTHER(3N)PROPERT?
S13	124131	OTHER AND (MARKET? OR TRANSACTION? OR EVENTS)
S14	11	S13 AND S6 AND (EFFECT OR IMPACT OR DICTAT?)
S15	188460	DISPLAY?
S16	36515	SORT?
S17	27	S6 AND S11
S18	142	S6 AND S10
S19	496	S11 AND (S2 OR S3 OR S4 OR S5) AND S10
S20	467	S11 AND (S4 OR S5) AND S10
S21	9	S14 NOT (PY=>1999 OR PD=>990723)
S22	9	RD S21 (unique items)
S23	25	S17 NOT (PY=>1999 OR PD=>990723)
S24	25	RD S23 (unique items)
S25	1	S19 AND S15 AND S16
S26	1	(S18 OR S19 OR S20) AND S15 AND S16
S27	92	(S18 OR S19 OR S20) AND (S12 OR S13)
S28	79	S27 NOT (PY=>1999 OR PD=>990723)
S29	79	RD S28 (unique items)
S30	74	S29 NOT (S22 OR S24 OR S25 OR S26)

all considered